

### REMARKS

Claims 1-39 are currently pending in the captioned patent application. Claims 40-42 have been added as new claims. Support for claims 40-42 may be found throughout the specification and drawings of the application as originally filed. Upon entry of the amendments, claims 1-42 will be pending. For at least the reasons set forth below, applicants respectfully request reconsideration of the Office Action objections and rejections.

#### §102 Rejections

A claim rejection based on anticipation under §102 requires that a single prior art reference disclose each and every element of the claimed invention. *See* MPEP § 2131 (stating that a claim is anticipated only if each and every element as set forth in the claim is disclosed in a single prior art reference). For at least the following reasons, applicants submit that a patent application filed by Keith, JR. (U.S. Pub No. 2002/0023085) fails to anticipate claims 1-39, because the reference does not disclose each and every element recited therein.

#### §102 (e) Rejections of Claims 1-39 (Keith, JR.)

Claims 1-39 stand rejected under 35 U.S.C. §102(e) in view of Keith. In contrast to Keith, claim 1 recites:

In a financial institution, a method for managing corporate action information of at least one entity, said method comprising:

receiving data associated with at least one corporate action of at least one of said entities, wherein said corporate action

data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action;

matching at least a portion of said corporate action data to at least one client of the financial institution;

generating at least one notification including at least a portion of said corporate action data; and,

performing at least one workflow management activity in connection with generating said notification including said corporate action data.

The claimed invention manages corporate action information for at least one entity.

In contrast to the subject matter of the pending claims, Keith relates to:

[A] method of performing a research task. More particularly the invention relates to a method of performing a research task by interchangeably utilizing a multitude of search methodologies.

See Keith at ¶[0001]. As further disclosed in Keith, the method includes:

[P]erforming a research task within a searchable database includes steps of utilizing a selective one or more search methodologies including keyword search, hierarchical search, dichotomous key search, and parametric search to correlate a search criteria to a searchable database for generating one or more matching items, wherein each matching item corresponds to a segment of the searchable database, utilizing a selective one or more search methodologies including keyword search, hierarchical search, dichotomous key search, and parametric search to correlate a subsequent search criteria to one of the matching items for generating one or more subsequent matching items, wherein each subsequent matching item is a sub-segment of the matching item used to generate the subsequent matching item, further wherein the subsequent search criteria is a selective one of the search criteria and a different search criteria, and repeating step of utilizing one of the search methodologies to correlate a subsequent search criteria to one of the matching items for generating one or more subsequent matching items until the research task is completed.

See Keith at ¶[0022]. Keith simply relates generally to a method for performing a research task which utilizes a multitude of search methodologies.

Claim 1 of the present application recites among other elements, “[i]n a financial institution, a method for managing corporate action information of at least one entity.” In contrast to Keith, the present invention relates to managing corporate action information for at least one entity. Keith fails to disclose “[i]n a financial institution” or “managing corporate action information” as recited by claim 1. For at least this reason, applicants submit that Keith fails to disclose each and every element of the claimed invention. See MPEP § 2131.

Additionally, Keith fails to disclose “receiving data associated with at least one corporate action of at least one of said entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action,” as recited in claim 1. (emphasis added). For at least this reason, applicants submit that Keith fails to disclose each and every element of the claimed invention.

Keith fails to disclose “matching at least a portion of said corporate action data to at least one client of the financial institution,” as recited in claim 1. (emphasis added). For at least this reason, applicants submit that Keith fails to disclose each and every element of the claimed invention.

Keith also fails to disclose “generating at least one notification including at least a portion of said corporate action data,” as recited in claim 1. (emphasis added). For at least this reason, applicants submit that Keith fails to disclose each and every element of the claimed invention.

In addition, Keith fails to disclose “performing at least one workflow management activity in connection with generating said notification including said corporate action data,” as recited in claim 1. (emphasis added). More particularly, Keith does not disclose performing any workflow management activity. For at least this reason, applicants submit that Keith fails to disclose each and every element of the claimed invention.

Applicants therefore submit that claim 1 and analogous claims 38-42 are not anticipated by Keith. Applicants further submit that claims 2-37 are not anticipated by Keith by virtue of their dependence from claim 1 and on their own merits.

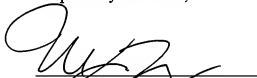
#### Miscellaneous

Applicants submit that the dependent claims pending herein are allowable at least by virtue of their dependency on independent claims which, as applicants describe above, are patentable over the cited references. Applicants reserve the right, however, to make supplemental arguments as may be necessary, because the dependent claims of the present application include additional features that further distinguish the claims from the cited references. A detailed discussion of these distinctions is believed to be unnecessary at this time in view of the fundamental distinctions already set forth in the above remarks.

SUMMARY

Based on the foregoing remarks, applicants respectfully request reconsideration and allowance of all pending claims of the present application. Any questions or issues regarding this response are invited to the attention of the undersigned representative by telephone or e-mail, so that such questions or issues can be addressed expeditiously.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Michael D. Lazzara', written over a horizontal line.

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